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### STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: CHEN, Fu; CHU, Sung G.; and KOLSON, Natalie A

Application No./Patent No.: 09/967,658 Filed/Issue Date: October 9, 2001

Entitled: Superplasticizer for Concrete and Self-Leveling Compounds

Hercules Incorporated, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 012349, Frame 0364, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

April 8, 2004

Date

302 594-6974

Telephone number

David Edwards, Reg. #27,293

Typed or printed name

Signature

Senior Counsel,

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Serial No. \_\_\_\_\_

Filed \_\_\_\_\_

Chen, Chu, and Kolson DKT# 10133

**ASSIGNMENT**

*Live*

WHEREAS, We, Fu Chen of 1057 Ballintree Lane, West Chester, PA 18328, in the County of Chester and State of Pennsylvania; Sung G. Chu of 8 ~~Line~~ Oak, South Wood, Hockessin, DE 197707, in the County of New Castle and State of Delaware; and Natalie A. Kolson of 411 N. Walnut Street, West Chester, PA 19380, in the County of Chester and State of Pennsylvania; respectively; have invented certain new and useful improvements in Superplasticizer for Concrete and Self-Leveling Compounds described in a patent application executed by us on the 03 day of October, 2001 and identified as DKT# 10133, and of which improvements, in and for the United States, its territories, dependencies and possessions, and for all foreign countries, we are now the joint owners; and

WHEREAS, **HERCULES INCORPORATED**, a corporation duly organized and existing under and by virtue of the laws of the State of Delaware, and having its principal office and place of business in Wilmington, Delaware, is desirous of acquiring the entire right, title and interest, for the United States, its territories, dependencies and possessions, and for all foreign countries, in and to the said improvements, application, invention or inventions, and any Letters Patent that might be granted therefor or thereupon, the said **HERCULES INCORPORATED**, its successors and assigns, being hereinafter referred to as "**HERCULES**."

NOW, THEREFORE, be it known that for good and valuable consideration by us received from said **HERCULES**, the receipt of which is hereby acknowledged, we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, to and unto **HERCULES**, our entire right, title and interest, for and in the United States, its territories, dependencies and possessions, and for and in all foreign countries, in and to:

- (1) Said invention or inventions, and, in, to and under the above-identified patent application, and (2) All improvements and modifications of said invention or inventions which we, solely or jointly have made or conceived, or shall make or conceive, while we are employed by **HERCULES**, and
- (3) All Letters Patent which may be granted by the United States of America, and countries foreign thereto, for or upon said application, invention or inventions, or said improvements or modifications, and in, to and under all reissues and extensions of said Letters Patent, and in, to and under all renewals, divisions, substitutes and continuations of the aforesaid application, and of any application filed in any country for

any improvement or modification mentioned in clause (2) above; and we hereby authorize and request the Commissioner of Patents to issue all Letters Patent of the United States of America on the said invention or inventions to HERCULES as assignee of the entire interest therein.

The inventions and the improvements and modifications mentioned in clauses (1), (2), and (3), above, are hereinafter referred collectively as "said inventions".

And, for the above-mentioned considerations, we do hereby covenant and agree:

**First:** That we will promptly and fully disclose to HERCULES all such improvements and modifications invented by us, and we will freely, fully and promptly communicate (in writing if requested) to HERCULES, or its nominee, all facts, information and evidence possessed or known by or available to us which concern "said inventions", and, at the request of HERCULES, that we will testify in interferences and other legal proceedings which may involve "said inventions".

**Second:** That we will render HERCULES, at its expense, all assistance which in its sole opinion is necessary to obtain and enforce patent protection in the United States, its territories, dependencies and possessions, and countries foreign thereto, for "said inventions". If we are not employed by HERCULES, a reasonable per diem charge shall be paid by HERCULES for time spent by us in such connection.

**Third:** That we will, at the request and at the expense of HERCULES, but without further compensation therefor, execute - (a) any and all original, divisional, continuation, substitute, renewal or other applications for Letters Patent of the United States, its territories, dependencies and possessions, and of foreign countries, for "said inventions", (b) any and all applications for the reissue or extension of any Letters Patent of the United States, its territories, dependencies and possessions, and of foreign countries that may be granted upon said application or for "said inventions", and (c) all assignments and other papers that HERCULES may deem necessary or expedient to secure the grant of each and all of said Letters Patent to HERCULES, or its nominee, and to protect and vest in HERCULES the entire right, title and interest, for the United States, its territories, dependencies and possessions, and for foreign countries, in and to "said inventions" and Letters Patent of the United States, its territories, dependencies and possessions, and for foreign countries.

IN TESTIMONY WHEREOF, we have hereunto set our hand respectively  
this  
3 day of October 2001.

Fu Chen

Fu Chen

(L.S.)

IN TESTIMONY WHEREOF, we have hereunto set our hand respectively  
this  
03 day of October 2001.

Sung G. Chu

Sung G. Chu

(L.S.)

IN TESTIMONY WHEREOF, we have hereunto set our hand respectively  
this  
3 day of October 2001.

Natalie A. Kolson

Natalie A. Kolson

(L. S.)

STATE OF Pennsylvania )  
 ) SS.  
COUNTY OF Chester )

I, the undersigned, a Notary Public in and for the State and County aforesaid, do hereby certify that Fu Chen, personally known to me to be the same person whose name is subscribed to the foregoing instrument, appeared before me this day in person and acknowledged that he executed the said instrument as his free and voluntary act, for the uses and purposes therein set forth.

IN WITNESS WHEREOF, I have hereunto set my hand and notarial seal  
this 03 day of October 2001.

Adele M. Thorp

Notary Public

My commission expires 5/2/05

SEAL

ADELE M. THORP  
NOTARY PUBLIC  
STATE OF DELAWARE  
My Commission Expires May 2, 2005

STATE OF Delaware )  
 ) SS.  
 COUNTY OF New Castle )

I, the undersigned, a Notary Public in and for the State and County aforesaid, do hereby certify that Sung G. Chu, personally known to me to be the same person whose name is subscribed to the foregoing instrument, appeared before me this day in person and acknowledged that he executed the said instrument as his free and voluntary act, for the uses and purposes therein set forth.

IN WITNESS WHEREOF, I have hereunto set my hand and notarial seal this 03 day of October 2001.

Adele M. Thorp  
 Notary Public  
 My commission expires 5/2/05

ADELE M. THORP  
 NOTARY PUBLIC  
 STATE OF DELAWARE  
 My Commission Expires May 2, 2005

SEAL

STATE OF Delaware )  
 ) SS.  
 COUNTY OF New Castle )

I, the undersigned, a Notary Public in and for the State and County aforesaid, do hereby certify that Natalie A. Kolson, personally known to me to be the same person whose name is subscribed to the foregoing instrument, appeared before me this day in person and acknowledged that he executed the said instrument as his free and voluntary act, for the uses and purposes therein set forth.

IN WITNESS WHEREOF, I have hereunto set my hand and notarial seal this 03 day of October 2001.

Adele M. Thorp  
 Notary Public  
 My commission expires 5/2/05

ADELE M. THORP  
 NOTARY PUBLIC  
 STATE OF DELAWARE  
 My Commission Expires May 2, 2005

SEAL

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